



# **Secure File Submittal Process**

## **California Office of the State Chief Information Officer (OCIO)**

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# 1 INTRODUCTION

These instructions are intended to apply to the submission of the following:

- The Enterprise Architecture (EA) Proposal Package<sup>1</sup> for the “As Is” Inventory due June 30, 2009.
- Segments One, Two and Three<sup>2</sup> of the Information Technology Capital Plans (ITCP) due July 17, 2009.
- Segment Three of the Information Technology Capital Plan, Consolidation Plan Progress Report due quarterly.
- Segment Four (Security) of the ITCP due August 27, 2009.

Instructions for the electronic submission of other documents using Secure Transport will be issued separately.

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<sup>1</sup> Submission of the EA Proposal Package using Secure Transport is offered as an alternative to submitting EA Proposal Packages using the procedures described in Section 5.1 of the *EA Developers Guide*. The *EA Developers Guide* is located in Section 58 of the Statewide Information Management Manual (SIMM). State entities may use either method.

<sup>2</sup> These instructions differ from the submittal instructions described included in Section V of the *Information Technology Capital Plan Submission Instructions* located in SIMM Section 57 in that Secure Transport only allows one file to be uploaded at a time. Submitting entities may, as an option, zip their files into one file prior to uploading.

## 2 HOW TO SUBMIT YOUR DOCUMENTS TO THE OCIO

To ensure your Enterprise Architecture (EA) Proposal Package “As Is” Inventory or your IT Capital Plan (ITCP) is submitted correctly and accurately, please follow the instructions below EXACTLY.

### **File Names**

#### ***Enterprise Architecture Proposal Packages:***

The EA Proposal Package “As Is” Inventory files names MUST have the Organization Code (i.e., the four digit code) appended to the beginning of the zip file name. For example, the zip file submitted by the State and Consumer Services Agency would be named 0510.

#### ***Information Technology Capital Plans:***

ITCP files MUST have file names that conform to the following naming conventions:

##### **a. Segment One, Proposed IT Project Concepts (SIMM Section 57A)**

- **Summary of IT Project Concepts** – Use the file name provided in template provided in Section 57A of the Statewide Information Management Manual (SIMM).

For example, the Summary of IT Project Concepts submitted by the State and Consumer Services Agency would be named  
0510-State\_and\_Consumer\_Services\_Agency\_Concepts.xls.

- **CA-PMM IT Project Concept Toolkit** – Append the Department Organization Code to the beginning of the file name and include the Project Concept name in the file name of each completed Project Concept Toolkit.

For example, the file name for a Franchise Tax Board project concept titled *Financial System Replacement* would be  
1730-Financial\_System\_Replacement.xls.

##### **b. Segment Two, Approved IT Projects (SIMM Section 57B)** – Use the file name provided in template provided in Section 57B for the Statewide Information Management Manual (SIMM).

For example, the Segment Two, Approved IT Projects submitted by the State



and Consumer Services Agency would be named  
0510-State\_and\_Consumer\_Services\_Agency\_Projects.xls.

- c. **Segment Three, Consolidation (SIMM Section 57C)** – Append the Organization Code to the beginning of the file name and identify the file name as a Segment Three submittal.

For example, the Consolidation Plan Progress report for the first quarter of 2009 submitted by the State and Consumer Services Agency would be named:  
0510-SIMM\_57C\_Consolidation\_Plan\_Q1\_Progress\_Report\_Workbook.xls.

<i>Use</i>	<i>For the Report Due</i>
Q1	October 2009
Q2	January 2010
Q3	April 2010
Q4	July 2010

- d. **Segment Four, Security (SIMM Section 57D)** – Append the Agency Acronym and the Agency Organization Code to the beginning of the file name, and identify the file name as a Segment Four submittal.

For example, the Security Survey submitted by the State and Consumer Services Agency would be named  
SCSA\_0510-Information\_Security\_Survey.xls.

- e. **Executive Approval Transmittals (SIMM Section 57E)** – Append the Organization Code to the beginning of the file name and identify the file name as the applicable Executive Approval Transmittal form.

For example, the Agency Executive Approval Transmittal Form submitted by the State and Consumer Services Agency would be named  
0510-Agency\_ITCP\_Executive\_Approval\_Transmittal.doc.

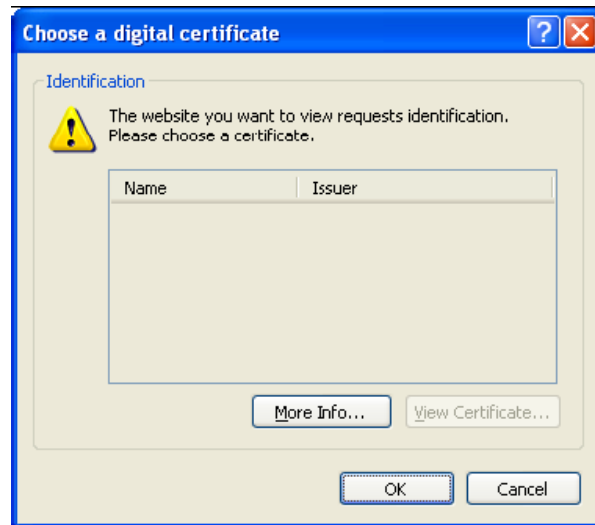
Executive Approval Transmittals shall accompany the Segments One, Two, and Three submittal on July 17, 2009, and the Segment Four submittal on August 27, 2009.

## **Submittal Process**

1. **Secure Transport** - On your Internet-connected computer, open your web browser (e.g. Microsoft Internet Explorer) and navigate to: <https://sftp.dts.ca.gov>

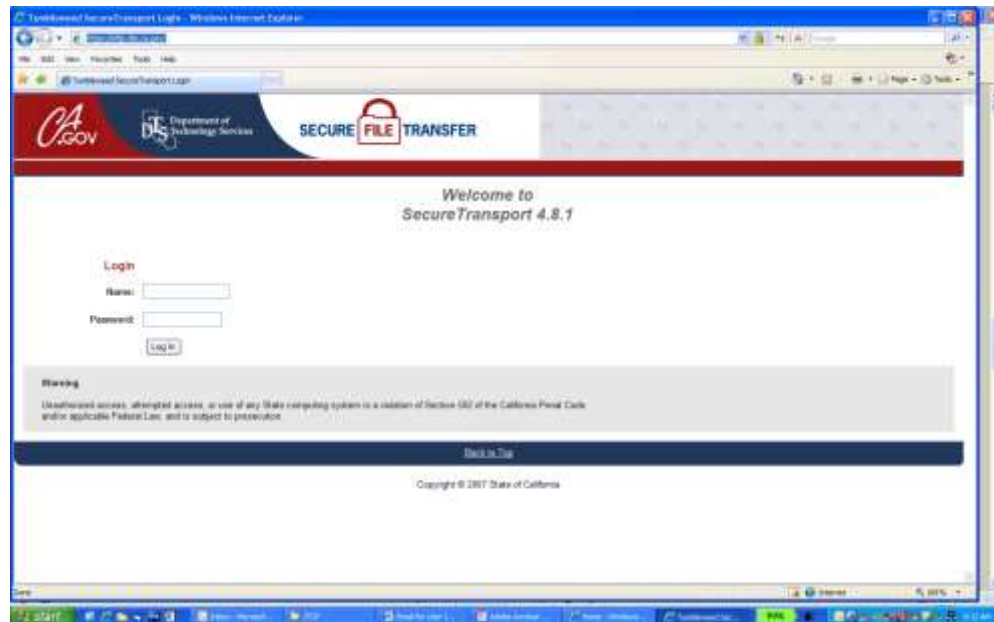
**NOTE:** You can also access this document from the OCIO's SIMM Webpage, Sections 57 and 58 at:  
[http://www.cio.ca.gov/Government/IT\\_Policy/SIMM.html](http://www.cio.ca.gov/Government/IT_Policy/SIMM.html).

You will see the following pop-up window:



**Figure 1 - Digital Certificate**

Just click OK to continue (if you don't see this pop-up, don't worry). This pop-up window is a security feature. You will be shown the DTS Secure Transport home page:

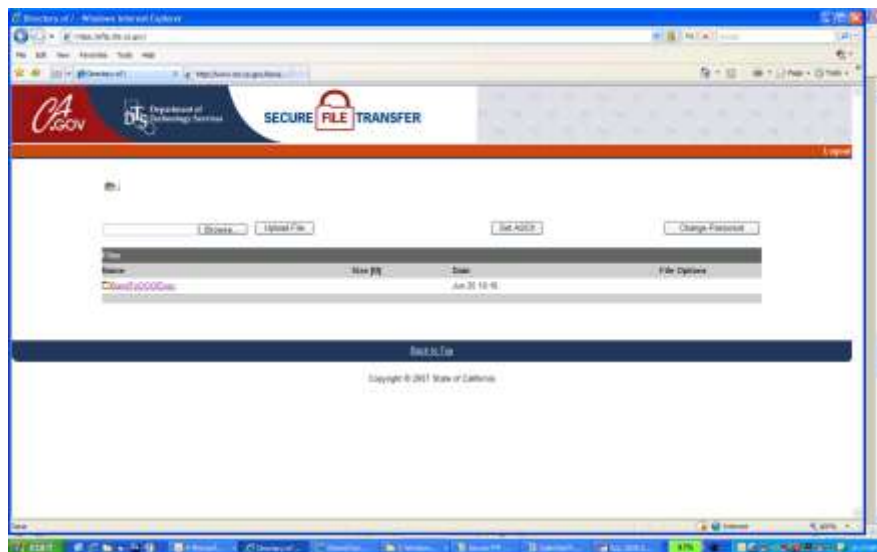


**Figure 2 – DTS Secure Transport Home Page**

2. **Login Name** - Move the mouse pointer to the box next to “Name:” and click once inside the box. Type in the user name that was assigned to you by the OCIO.

3. **Login Password** - Move the mouse pointer to the box next to “Password:” and click once inside the box. Type in the password that was assigned to you by the OCIO. Be careful to type the password EXACTLY as it was given to you as it is case sensitive.

4. **Login to Secure Transport** - Click once on the “Log In” button. You will be shown the following screen:



**Figure 3 – DTS Secure Transport Upload Screen**

5. **Open Subdirectory** – Double click on the subdirectory titled “SendToOCIOExec”.

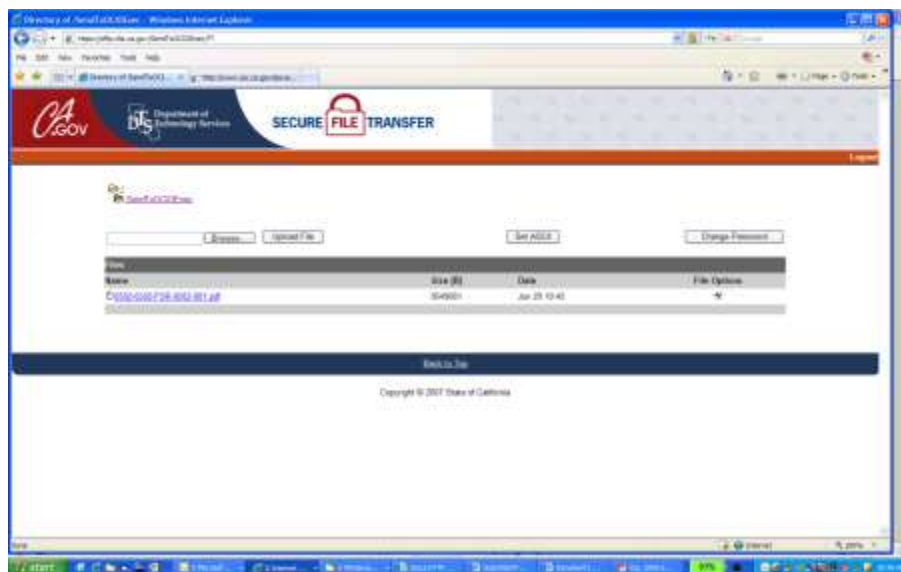
6. **Select File** - When you are ready to upload your ITCP file, click on the “Browse...” button. You will see a Windows file browser pop-up like this:



**Figure 4 – Choose Document**

Navigate to the folder where your ITCP files are stored. Once you've found your file, select the file by clicking on it once. Remember, the file must follow the naming convention described in above. Then, click the "Open" button (alternatively, you can double-click the file itself). The Windows file browser will disappear and return you to the web browser window.

**7. Upload File** - Back on the DTS Secure Transport page (Figure 3), click the "Upload File" button. Your file will be copied from your computer to the DTS Secure Transport server and your file will be listed on the page when the transfer is complete. See Figure 5 below:



**Figure 5 - Document Upload Success**





**NOTE:** Immediately after your file has been copied to the Secure Transport server, an automated process will move it to OCIO's servers. After the move takes place, your file will be removed from the Secure Transport page and you will not see it in the list. This is normal behavior and an indicator that the transfer is successful.

**8. Confirmation of Successful Upload** - After the file is uploaded, you will receive a confirmation email like this:

File Upload Successful : /data/securetransport/bu/ocio/ocio-test2/0520-2740-ITCP.pdf	
File	0520-2740-ITCP.pdf
User	ocio-test2
Remote IP	173.8.66.174

**Figure 6 - Confirmation Email**

**9. Uploading Additional Files** - Repeat steps 6-8 for each file you need to upload.

### 3 ADDITIONAL IMPORTANT INFORMATION

**Upload Time** - After you click the “Upload File” button, do NOT interrupt the process or your upload will fail. Most files will upload very quickly but if you have a very large file or a slower network connection, the upload process may take several seconds or even a minute or two. Keep an eye on the status indicator at the bottom of your web browser so you can keep track of the progress. Once your file appears on the Secure Transport page, the upload process is complete.

**Upload Failure** - If your upload fails for any reason, you will get a failure email like this:

**File Upload Failed : 0520-ITCP.pdf**

<b>File</b>	0520-ITCP.pdf
<b>User</b>	ocio-test2
<b>Remote IP</b>	173.8.66.174

**Figure 7 – Upload Failure Notification**

If you do get a failure email, simply upload your file again. Keep in mind that any file you upload with the exact same file name as a previous file you’ve uploaded will overwrite the earlier file.

**Contact Information** - If you have any questions or issues, contact Steve Welch at (916) 403-9616 or email [stephen.welch@state.ca.gov](mailto:stephen.welch@state.ca.gov).